

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Patricia Preikschat, et al.  
Serial No.: 09/171,558  
Filing Date: October 19, 1998  
Title: CHROMIUM(IV)-FREE CONVERSION LAYER AND METHOD FOR PRODUCING IT  
Docket No. 31716

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS

I hereby declare that I am an officer of the concern identified below and am empowered to act on its behalf.

The concern qualifies as a small business concern as defined in 37 C.F.R. § 1.9 for purposes of paying reduced fees, in that the number of employees thereof, including those of its affiliates, does not exceed 500 persons.

The exclusive rights to the invention described and claimed in the above-identified application have been conveyed to and remain with the concern, or if the rights are not exclusive, all other rights belong to small entities as defined in 37 C.F.R. § 1.9.

I acknowledge the duty to file, in this application, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

CONTINENTAL SURFACE TREATMENT, INC.

By: 

[signature]

Print Name: KARL H. LINDEMANN

Print Title: CEO

Date: 5-12-1999

PATENTIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Patricia Preikschat, et al.  
Serial No.: 09/171,558  
Filing Date: October 19, 1998  
Title: CHROMIUM(IV)-FREE CONVERSION LAYER AND METHOD  
FOR PRODUCING IT  
Docket: 31716

SUBSTITUTE POWER OF ATTORNEY AND CHANGE  
IN CORRESPONDENCE ADDRESS FOR ALL PURPOSES

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

SurTec Produkte und System fur die Oberflachenbehandlung GmbH, as assignee of the entire right, title and interest in the above-identified application, hereby revokes all prior designations of mailing and correspondence addresses and telephone numbers and all prior Powers of Attorney in the above-identified application, and hereby designates the following as its mailing and correspondence address and telephone number for all purposes and for all communications from the Patent and Trademark Office connected therewith:

Pearne, Gordon, McCoy & Granger LLP  
526 Superior Avenue East, Suite 1200  
Cleveland, Ohio 44114-1484  
(216) 579-1700

and appoints each of the following as its attorneys, with full

power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Charles B. Gordon, Reg. No. 16923  
William C. McCoy, Reg. No. 16885  
Richard H. Dickinson, Jr., Reg. No. 18622  
Thomas P. Schiller, Reg. No. 20677  
David B. DeJoma, Reg. No. 22841  
Joseph J. Corso, Reg. No. 25845  
Howard G. Shimola, Reg. No. 26232

Jeffrey J. Sopko, Reg. No. 27676  
John P. Murtaugh, Reg. No. 34226  
James M. Moore, Reg. No. 32923  
David E. Spaw, Reg. No. 34732  
Michael W. Garvey, Reg. No. 35878  
Paul R. Katterle, Reg. No. 36563  
Richard M. Mescher, Reg. No. 38242  
M. David Galin, Reg. No. 41767

all having the above designated address.

An executed Certificate Under 37 CFR 3.73(b) is attached hereto and incorporated herein by reference.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made herein on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SURTEC PRODUKTE UND SYSTEM FUR DIE  
OBERFLACHENBEHANDLUNG GMBH

By Patricia Reickschat  
[signature]  
Print Name: Patricia Reickschat  
Print Title: Technical Director General Manager

Date: 11.05.1999

### ASSIGNMENT

WHEREAS, Patricia Prellschat, Rolf Jansen, and Peter Hülser, citizens of the Federal Republic of Germany, all residing at Untergasse 47, 65468 Trebur, Bundesrepublik Deutschland, Assignors, have invented now and useful CHROMIUM(VI)-FREE CONVERSION LAYER AND METHOD FOR PRODUCING IT, for which an application for United States Letters Patent was executed by them on or about the same date as this Assignment; and

WHEREAS, Assignors believe themselves to be the original, first and sole inventors of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, SurTec Produkte und System für die Oberflächenbehandlung GmbH, a for profit organization chartered under the laws of the Federal Republic of Germany, having a principal place of operation at Untergasse 47, DE 65468 Trebur, Federal Republic of Germany, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars (\$10.00) and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignor, they and their legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in the invention.

Assignors further authorize and request insertion below of the serial number and filing date of the application, when officially known:

Serial No. \_\_\_\_\_ Filing Date \_\_\_\_\_

IN WITNESS WHEREOF, Assignors have executed this Assignment.

Date: 12. 03. 1999

P. Preikschat  
Patricia Preikschat

State of Germany )  
County of Darmstadt ) ss.

Urkundenrolle Nr: 36 / 1999

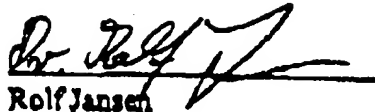
On this 13 day of March, in the year of 1999, before me personally appeared Patricia Preikschat, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.




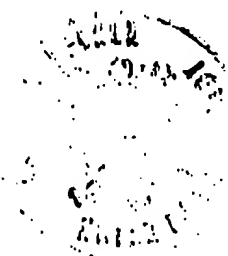

Alfred C. Becker  
Notary Public in and for Said  
County and State

alsamtlich bestellte  
Vertreterin des Notars  
Alfred C. Becker

Date: 12.3.1999  
Rolf JansenState of Germany )  
County of Darmstadt ) ss.


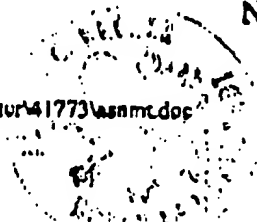
On this 12 day of March, in the year of 1999, before me personally appeared Rolf Jansen, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.

  
als amtlich bestellte  
Vertreterin des Notars Alfred C.  
Notary Public in and for Said Becker  
County and StateDate: 12.3.99  
Peter HülserState of Germany )  
County of Darmstadt ) ss.

On this 12 day of March, in the year of 1999, before me personally appeared Peter Hülser, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.

  
als amtlich bestellte  
Vertreterin des Notars Alfred C.  
Notary Public in and for Said Becker  
County and State

**CERTIFICATE UNDER 37 CFR 3.73(b)**Applicant: Patricia Preikschat, Rolf Jansen and Peter HülserApplication No.: 09/171,558 Filed: October 19, 1998For: CHROMIUM(VI)-FREE CONVERSION LAYER AND METHOD FOR PRODUCING ITSurTec Produkte und System für die for profit organization chartered under  
Oberflächenbehandlung GmbH the laws of the Federal Republic of Germany

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 11. May 1999Name : Patricia PreikschatTitle : ~~Technical Director~~ General ManagerSignature: Patricia Preikschat